

U.S. Department of Transportation

Hazardous Materials Emergency Preparedness (HMEP)

Grant

A Planning Grant Guide
For Local Governments

California Emergency Management Agency
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Quick Reference and Helpful Hints: Planning

The Federal Hazardous Materials Emergency Preparedness (HMEP) Grant - A Planning Grant Guide for Local Governments is located at California Emergency Management Agency (CalEMA) web site www.CalEMA.ca.gov . Your project must HazMat and Transportation related to quality (no exceptions) for this grant.

U.S. D.O.T - Federal Fiscal Year (October 1 through September 30)

Quarterly Progress Reports: Performance Period

- October 1, through December 31, - **due by January 15**
- January 1, through March 31, - **due by April 15**
- April 1, through June 30, - **due by July 15**
- July 1, through September 30, - **due by October 15**

The grant guide quick reference:

- Appendices A – Application Forms for a new HMEP grant. CalEMA recommends LEPCs request Local Governments to submit applications by 15 July. ALL application are due to the HMEP Grant Administrator by 15 August.
- Appendices B/ C – Reimbursement Request Form and Quarterly Performance Report Form. The local government must submit these documents each quarter regardless of requesting reimbursement.
- **Total Expenditures are required** (no exceptions) and must be submitted requesting reimbursement.
- **All eligible work and expenditures for the current grant must be completed by September 30, and time extensions can not be granted.**
- No funds awarded direct to a Contractor, Non-Profit Organization or other Non Government Agency (**must be sponsored by a Local Government Agency**).
- **Grant Timelines page 10 - recommend you print the page.**

FAQ: Reference page 8

- No Overtime or Call Backs
- No Equipment Purchases
- No Software with the exception of CAMEO

Part One - Grant Overview

Purpose

The Federal Hazardous Material Law authorizes the United States Department of Transportation (DOT), through the Research and Special Programs Administration (RSPA), to provide assistance to public sector employees through training and planning grants. The purpose of the Hazardous Materials Emergency Preparedness (HMEP) grant program is to:

- Increase effectiveness in safely and efficiently handling hazardous materials accidents and incidents.
- Enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA).
- Encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations.

This is a performance-based grant that builds on and supports accomplishments of long-term goals and objectives.

Performance Period

The performance period for this grant follows the federal fiscal calendar year, which runs from October 1, through September 30, each year. ***Costs incurred outside the performance period are not eligible under this grant.***

Matching Requirements

Grant recipients "must provide 20 percent (your share) of the direct and indirect costs of all activities covered under the grant award program with non-Federal funds. Recipients may either use case...in-kind...contributions, or a combination...to meet this requirement." *Title 49, Code of Federal Regulations, Part 110.60(a)*

EXAMPLE: If the total cost of an eligible project is \$25,000, the grant recipient is eligible to receive \$20,000 (\$25,000 x 80%) in HMEP grant federal funding; the balance of \$5,000 (\$25,000 x 20 %) is the grant recipient's Non-Federal (match) share or your share.

Types of cost sharing contributions allowed under this grant include, but are not limited to:

- Any funds from a state, local or other non-federal source used for an eligible activity as defined in 49 CFR 110.40.
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- The dollar equivalent value of an eligible activity as defined in 49 CFR 110.40, provided by a state, local or other non-federal source.
- The value of participants' salary while attending a planning or training activity contained in the approved grant application provided by a state, local or other non-federal source.

NOTE: The following costs can not be used for match:

- Funds used for matching purposes under any other Federal grant or cooperative agreement.
- Funds expended by a recipient agency to qualify for the grant.

Definition of an LEPC

"Local Emergency Planning Committee (LEPC) means a committee appointed by the State Emergency Response Commission under section 301(c) of the Emergency Planning and Community Right-to-Know Act of 1986 ...that includes at a minimum, representatives from each of the following groups or organizations: elected State and local officials; law enforcement, firefighting, civil defense, first aid, health, local environmental, hospital, and transportation personnel; broadcast and print media; community groups; and owners and operators of facilities subject to the emergency planning requirements." *49 CFR 110.20*

Eligible Applicants for Planning Funds

Local governments are eligible to apply for this grant. Local governments are defined as,

"A county, municipality, city, town, township, local public authority...school district, special district, intrastate district, council of governments...any other regional or interstate government entity, or any agency or instrumentality of a local government." *Title 49, Code of Federal Regulations (CFR), Part 18.3*

NOTE: Federal regulations require that at least 75% of the planning award be distributed to the LEPCs, however, California LEPCs do not have the ability to receive and distribute grant funds. Since the regulation's intent is that LEPCs control the use of HMEP funds, grant applications must be approved by the LEPC before being forwarded to the CalEMA.

Planning Funds

Local governments will be subgranted a minimum of 75% percent of the federal planning funds.

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Part One - Grant Overview, Continued

Planning Expenditures

Authorized

HMEP planning funds may be used for the following purposes:

- Development, improvement, and implementation of emergency plans required under the EPCRA, as well as exercise that test the emergency plans. Enhancement of emergency plans to include hazards analysis, as well as response procedures for emergencies involving transportation of hazardous materials, including radioactive materials.
- An assessment to determine the flow patterns of hazardous materials within the state, between states or Native American lands, and development and maintenance of a system to keep such information current.
- An assessment of the need for regional hazardous materials emergency response teams.
- An assessment of local response capabilities.
- Conduct emergency response drills and exercises associated with emergency preparedness plans.
- Provision of technical staff to support the planning effort.
- Additional activities appropriate to implement the scope of work for the proposed project plan and approved in the grant. These activities must be approved by CalEMA before initiated.

Unauthorized

HMEP planning funds may NOT be used for the following purposes:

- No Costs incurred before October 1, or after September 30, of the performance period of the Federal Fiscal Year.
- No Equipment purchases (no exceptions)
- No Salaries for participation in exercises (Personnel costs associated with designing the exercise may be allowable).
- No Overtime wages or Call Backs.
- No Food items (no exceptions)
- No Software – with the exception of CAMEO (no exceptions per U.S. D.O.T)

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**Recipient
Responsibilities**

Grant Recipient responsibilities include:

1. Complying with all assurances and certifications contained in the Grant Assurances form (see Appendix A).
 2. Preparing quarterly progress reports for the duration of the performance period, or until all approved work has been completed. Further reporting details are included in Part Three – The Performance Period, under "Quarterly Progress Reports".
 3. Maintaining financial management systems that support grant activities in accordance with 49 CFR Parts 18.20 and 110.70.
 4. Requesting OES' prior approvals before initiating any grant activities that vary from the approved grant scope of work. Further details are included in Part Three - The Performance Period, under "Revision Requests".
 5. Notifying CalEMA, in writing, within 30 days of the completion of all grant activities.
 6. Submitting Final Grant Report and remit unexpended grant funds.
 7. Maintaining property, programmatic and financial records in accordance with the grant record retention requirements. Further details are contained in Part Three - The Performance Period, under "Record Retention Requirements."
 8. Complying with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and 49 CFR Parts 18.26.
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**Applicable
Laws,
Regulations,
and Guidance
Documents**

OES encourages the applicants to comply with the following laws, regulations and guidance documents that apply to this grant:

- 42 U.S.C. 11001, the Emergency Planning and Community Right-to-Know Act of 1986, Sections 301 and 303
<http://www.epa.gov/region5/defs/html/epcra.htm>
 - Office of Management and Budget (OMB) Circulars A-87, A-102, A-133
(www.whitehouse.gov/OMB/grants/index.html)
 - Title 49, Code of Federal Regulations (CFR)
<http://www.access.gpo.gov/nara/cfr>
 - U.S. Department of Transportation (USDOT) – HMEP Grant website
<http://hazmat.dot.gov/hmep.htm>
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**Contact
Information**

Technical assistance is available throughout the application and grant performance process. Contact CalEMA, Hazardous Materials Unit, Ron Olguin at (916) 845-8765, fax (916) 845-8734.

HAZARDOUS MATERIALS EMERGENCY PREPAREDNESS

(HMEP)
Frequently Asked Questions

Planning Grant

What is the purpose of the HMEP grant?	Federal Hazardous Material Law authorizes the U.S. Department of Transportation (DOT) to provide assistance to public sector employees through training and planning grants. The purpose of the HMEP grant program is to increase effectiveness in safely and efficiently handling hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations. This is a performance-based grant that builds on and supports accomplishments of long-term goals and objectives.
Who decides how much funding California receives for the HMEP grant?	OES submits to U.S. DOT a request for a continuation grant on a yearly basis. U.S. DOT, who sets the amount of funding for each state or territory, approves the amount of the award issued to the State of California. Amount of award received is determined by (1) number of 302 facilities filing in the state, (2) population, and (3) highway miles within the state.
How much funding does each region get?	Each region in California has unique risks associated with them. OES has decided to have the local agencies submit applications to the LEPC's for review and prioritizing, taking into consideration that larger sums may be necessary in specific areas with the greatest need. There are certain geographical areas that are of particular concern, especially considering transportation-related risks.
What is the final date for completed applications to be submitted for consideration and approval to the Grant Administrator?	August 15th of every year is the final date applications are accepted for review to obtain grant funding. CalEMA recommends local government submit their applications to their LEPCs by 15 July.
What kinds of projects are funded?	Development, improvement, and implementation of emergency plans, as well as exercises that test the emergency plans, hazards analysis, response procedures for emergencies involving

transportation of hazardous materials (including radioactive materials), needs assessment for regional hazardous materials emergency response teams, assessment of local response capabilities, conducting emergency response drills and exercises associated with emergency preparedness plans.

Are performance reports and invoicing required?

Yes. The HMEP grant is based on performance. Performance reports are a means in which CalEMA has of ensuring that the projects are kept on schedule; are within the parameters that OES approved; and to ensure that no problems with the project have surfaced. If expenditures occurred during a quarterly reporting period, Project Managers must prepare and submit an HMEP Reimbursement Form which can be obtained in the HMEP Grant Guide.

When are the reports required to be submitted?

Performance Reports are required to be submitted by the 15th day following the end of each quarter. Reimbursement Requests can be submitted at least monthly. All approved projects must invoice by submitting a **Reimbursement Request Form** by the end of the second quarter.

What are the quarters?

The quarters are based on a Federal Fiscal year. They are as follows:

First Quarter	October 1 st through December 31 st
Second Quarter	January 1 st through March 31 st
Third Quarter	April 1 st through June 30 th
Fourth Quarter	July 1 st through September 30 th

When do we get reimbursed for our expenditures?

Once CalEMA receives your Request for Reimbursement it is processed through to our department's accounting office. From there, a request is submitted, at least monthly to U.S. DOT to have funds forwarded to the State Controller's Office. Local agencies get reimbursed from the State Controller's Office. The process normally takes a total of six weeks from the time it is received by CalEMA. Project Managers must ensure that invoices are added up correctly, that HMEP share and match share are correct, and that substantiation has been attached.

Who can we contact if we have questions?

You can contact your LEPC Support Staff or the HMEP Grant Administrator Ron Olguin at (916) 845-8765.

Grant Timelines

The HMEP Grant Timelines: For a New Federal Grant and a Grant currently in process (October 1 to September 30).

New Application:

Due Date	Activity for a New HMEP Grant
July 15 - New Grant	Applications are due to the LEPC Region Chair.
August 15 –New Grant	LEPC Chairs submit approved application to CalEMA. Applications received after this date <u>will not</u> be considered for project funding.
September 15 - New Grant	CalEMA completes application review process and then mails the Assistance Agreements (CalEMA 167) to the approved grant recipients requesting signatures. Award notifications will be sent to grant recipients after the application review process has been completed.
September 30 -New Grant	Local Assistance Agreement (CalEMA 167 HazMat) due to CalEMA. NOTE: Project activities cannot be reimbursed until OES receives the signed Assistance Agreement.
October 1 - New Grant (Begins)	Eligible grant activities may begin - After notification from the HMEP Administrator.

Current Grant in Process:

Due Date (NLT)	Quarterly Activity for the HMEP Grant in process
January 15 – Current Grant	October 1 through December 31.
April 15 – Current Grant	January 1 through March 31.
July 15 – Current Grant	April 1 through June 30.
October 15 – Final Report Due	July 1 through September 30. The Final Grant Report must be submitted to CalEMA. You must also include an Electronic Format for your project if applicable.

Part Two - Planning Application Requirements and Process

Application Components

The application must include the following documents:

- Application Form
- Designation Statement
- Grant Project Narrative
- Work Schedule and Deliverables Form
- Budget Sheet
- Vendor Data Record (if required)
- Grant Assurances

These forms can be found in Appendix A.

Designation Statement

The Designation Statement appoints agents authorized to execute any actions necessary under this grant. Local governments are required to file a signed Designation Statement with the HMEP application.

Grant Program Narrative

Complete the Project Narrative form provided in Appendix A. On the form, itemize the major project objectives and describe how the proposed activities will accomplish these objectives. The narrative must fully describe the proposed work and indicate major milestones. The project activities must be listed chronologically on the Work Schedule and Deliverables Form, along with the project tasks and deliverable within each activity. If the application is approved, the Project Narrative will become the approved scope of work. The Narrative should be concise and is limited to a maximum of two pages.

Work Schedule and Deliverables Form

In an outline format, the Work Schedule and Deliverables form must show the:

- Project activities in the Program Narrative, listed chronologically, along with their supporting project tasks, deliverables and major milestones.
- Duration of the activities and tasks.
- Date each deliverable will be submitted.

The progress of each activity may be tracked by placing an indicator in the appropriate "monthly progress schedule" box, where "1" represents October and "12" represents September.

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Part Two - Planning Application Requirements and Process, Continued

Budget Sheet	The Budget Sheet shall show the total costs to be incurred during the grant performance period. All costs must be reasonable, allocable, and allowable, and work performed prior to October 1, is not eligible. Applications may not include profit as a line item. The project should be planned without requiring overtime work. A breakdown must be provided to explain each line item in the Budget Sheet. This breakdown must detail the costs that are to be paid by the grant and the costs that will be paid by the grant recipient as their match share. If services by a consultant/contractor are expected to be performed, contact should be made with them prior to submitting line item cost estimate.
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Application Due Date	LEPC approved local government applications are due to CalEMA by August 15, each year . Incomplete applications will not be approved. LEPCs are to submit applications in a group package, listing the regions priorities.
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Part Three - Performance Period

OES Approval of Application

CalEMA will notify the grant recipients, in writing, of the approved application and award amount.

Reimbursement of Expenditures

Planning funds will be disbursed to grant recipients on a reimbursement basis using the Reimbursement Request form included in Appendix A. Reimbursement requests can be submitted no more frequently than monthly to the CalEMA Hazardous Materials Unit.

Revision Requests

All changes to the grant recipient's approved scope of work and budget must be submitted to CalEMA. Revisions must be requested in writing and approved *prior* to initiating the revised scope of work or incurring the associated expenditures. These changes can be requested as part of the Quarterly Report process, or at any other time by contacting the Grant Administrator.

Failure to submit revision requests and receive approval prior to expenditure could result in a reduction or disallowance of that part of the grant.

Quarterly Progress Reports

Grant recipients must prepare and submit quarterly progress reports to CalEMA for the duration of the performance period, or until all grant activities are completed and the grant is formally closed. The reports must include the status of all activities. The reports are due to CalEMA as follows:

- Performance Period October 1, through December 31, – **due by January 15.**
- Performance Period January 1, through March 31, – **due by April 15.**
- Performance Period April 1, through June 30, – **due by July 15.**
- Performance Period July 1, through September 30, – **due by October 15. (THIS IS THE FINAL PERFORMANCE REPORT). You must also include an Electronic Format for your project if applicable.**

A quarterly report template, with instructions, will be distributed under separate cover prior to the deadline for each report. Failure to submit quarterly reports could result in grant reduction, termination or suspension.

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Part Three - Performance Period, Continued

Procurement Requirements	All grant recipients must follow their own procurement requirements as long as they meet the federal requirements at a minimum. Federal procurement requirements for this grant can be found in:
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- OMB Circular A-102
 - 49 CFR Parts 18.36 and 110.80
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CalEMA Monitoring	CalEMA may perform periodic reviews of the local government's grant performance. These reviews may include, but are not limited to:
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- Comparing actual grant activities to those approved
 - Confirming compliance with:
 - Grant Assurances
 - Information provided on the quarterly and/or final grant reports
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Record Retention Requirements	Record retention requirements can be found in 49 CFR 18.42. Generally, records must be kept for three years beginning from the end of the project year.
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Accessibility of Records	The Department of Transportation, the Comptroller General of the United States, CalEMA, or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the grant, in order to make audits, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 49 CFR 18.42.
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Part Three - Performance Period, Continued

Suspension or Termination

CalEMA may suspend or terminate grant recipient funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the grant recipient's application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.

Before taking action, CalEMA will provide the grant recipient reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

Part Four - Grant Closeout Process

Final Grant Report

The grant recipient must notify CalEMA when all approved grant activities have been completed and paid for. The notice must be submitted by October 15 and be in the form of a final Progress Report.

Reminder: All work must be completed and paid for by September 30, and the Final Grant Report is due to CalEMA no later than October 15.

CalEMA Closeout Review and Notification

CalEMA will review the grant recipient's Final Grant Report for compliance with all grant conditions. Once compliance has been verified.

Financial Reconciliation of Final Grant Report

If the Final Grant Report indicates that the grant recipient:

- Is owed additional funds, grant recipient must submit a request for reimbursement. Substantiation must be attached.
-

Audit Requirements

Grant recipients must comply with the audit requirements contained in OMB Circular A-133 and 49 CFR Parts 18.26.

Part Five - Appendices

Appendices

The following appendices are included with this Guide:

Appendix	Description
A	Application Forms <ul style="list-style-type: none">• Application Form• Designation Statement• Grant Project Narrative• Work Schedule and Deliverables Form• Budget Sheet• Payee Data Record• Grant Assurances• Reimbursement Request Form
B	Abbreviations and Acronyms

Appendix A - Application Forms for a New Grant

- For a new HMEP Grant (application) refer to pages 18-31.
- See Grant Timelines on page 10.

Stop do not complete the following: Documents are for a current grant in process

- **Quarterly Performance Report or Reimbursement Request Forms**, those documents are used for the current grant. If you have any questions, contact Ron Olguin at (916) 845-8765.

APPLICATION FORM
Hazardous Materials Emergency Preparedness Planning Grant

Applicant	Date
Project Title	
Mailing Address	Project Start Date October 1, 2009
	Project End Date September 30, 2010
Project Manager Name, Title, Phone Number and E- Mail Address:	
Estimated Budget <div style="margin-left: 100px;">Total Budget: \$ _____ (100%)</div> <div style="margin-left: 100px;">HMEP Share: \$ _____ (80%)</div> <div style="margin-left: 100px;">Local Share: \$ _____ (20%)</div>	Office Use Only LEPC Region <hr/> Project # <hr/> State FY FY _____
CERTIFICATION	
<p>I certify that I have read and understand the terms and conditions contained in the HMEP Guidelines and Application, and that to the best of my knowledge the information contained in this application and supplemental information is correct and complete.</p>	
Name and Signature of Applicant	Date
ADMINISTRATIVE APPROVALS	
Print Name / Signature of LEPC (Chair)	Date
Print Name / Signature of CalEMA LEPC Staff Support (ESC)	Date
Print Name / Signature of Grant Administrator (CalEMA)	Date

Instructions for completing these application form

Field Name	Description of Information Required
Applicant	The full name of the organization.
Date	Date of submittal of application package to LEPC .
Project Title	A brief title of project.
Mailing Address	The address for correspondence and reimbursement checks.
Project Start/End Dates	Anticipated start and end date of the proposed project.
Project Manager, Title, Phone, and e-mail address	The person in the organization who is responsible for the daily implementation of the project.
Estimated Budget *	The amount of HMEP funds being requested, match funds that will be contributed by the applicant, and the total of the project budget (HMEP funds + match share).
Certification	Signature of the person in the organization with the ultimate responsibility for the project and who has the legal authority to speak for the applicant.

*It is important not to over or under estimate costs for the project budget as this is the amount of award that will be submitted for approval. Take into consideration amount of staff time that will be required, cost of consultant/contractor supplies, etc. Do not guess on amount of funding the project will cost.

DESIGNATION STATEMENT

Applicant _____ Date _____

Project Title _____

Mailing Address _____

Project Manager _____ Phone _____

Title _____ E-Mail Address: _____

Financial Officer* _____ Phone _____

Title _____

Total Project Budget: \$ _____ (100%)

HMEP Share: \$ _____ (80%)

Local Share: \$ _____ (20%)

*FINANCIAL OFFICER CANNOT BE THE PROJECT MANAGER

CERTIFICATION

I certify that I have the legal authority to make a commitment to the project on behalf of the applicant and that the project manager indicated above has the responsibility for the daily implementation of the proposed project.

I certify that I am duly authorized to act on behalf of the recipient organization and the recipient agrees with the requirements of the "Offer and Acceptance" clause, and that the award is subject to the applicable provisions of 49 CFR § 110 et seq., 49 CFR Part 18, and of the provisions of CalEMA Assistance Agreement.

I certify that the financial manager indicated above has the responsibility for the fiscal management of the grant and has the legal authority to certify all financial status reports, invoices and requests for payments that will be submitted.

I certify that the information in the attach application is true to the best of my knowledge. By submitting this application, I am making a commitment to the proposed project, budget, match share and scope of work (Project Narrative and Work Schedule and Deliverables).

Applicant (print/signature)

Title

Date

Instructions for completing designation statement

Field Name	Description of Information Required
Applicant	The full name of the organization or person (Authorized Agent).
Date	Date of submittal of application package.
Project Title	A brief title of project.
Mailing Address	The address for correspondence and reimbursement checks.
Project Manager, Title, Phone, and e-mail address	The person in the organization who is responsible for the daily implementation of the project.
Financial Officer, Title and Phone	The person responsible for the fiscal management of the grant. This person must certify all financial status reports, invoices, and requests for payment submitted. The financial officer cannot be the Project Manager.
HMEP Funds Requested	The amount of HMEP funds being requested.
Match Contribution	A minimum 20% match to the amount of HMEP funds requested.
Certification	Signature of the person in the organization with the ultimate responsibility for the project and who has the legal authority to speak for the applicant.

WORK SCHEDULE AND DELIVERABLES

Applicant _____

Project Title _____

[illegible]

BUDGET SHEET (must be fully completed)

Applicant _____

Project Title _____

	HMEP SHARE	MATCH SHARE	TOTAL COSTS
PERSONNEL SERVICES			
Salaries and Wages			
OPERATING EXPENSES			
Travel			
Office Supplies			
Facility Rental			
Communications			
Printing			
Postage			
Other Direct Expenses			
SUBTOTAL			
PROFESSIONAL SERVICES			
Professional/Consultant			
TOTAL COSTS			

Note: No Overtime or Call Backs
No Equipment Purchases
No Software with the exception of CAMEO.

Instruction for completing the budget sheet

Field Name	Description of Information Required
Applicant	The full name of the organization or person.
Project Title	A brief title of project.
Personnel Services	Included in personnel services are the salaries and wages for wage-earning personnel employed by the applicant, who will be working on the project. These types of costs for a third party are to be indicated under Professional Consultant Services. Grant recipients are required to keep up to date time charge records for the project for the duration of the grant.
Salaries and Wages	Includes the salaries and wages calculated by multiplying the number of person-time-periods (months, day, hours) for each applicant employee (whether permanent, seasonal, temporary, etc.) by the appropriate monthly salary, or daily or hourly wage. For example, a typist needed at 33 percent participation (or one third time) for six months will work for two person months. If the typist earns a salary of \$800 per month, the total salary added to the project is: 2 months x \$800 per month = \$1600. No funds may be used to pay overtime.
Operating Expenses	These include any charges and travel costs necessary for the completion of the project, plus any other operational costs. The grant recipient will be required to keep an up to date inventory of all operation expenses associated with the proposed project. The operating expenses line items require brief written justifications describing the need for these items, how the dollar amounts were derived and how the items will be used for the project.
Travel	Includes the cost of transportation, subsistence, and other associated costs incurred by applicant personnel that are directly related to the project. (Note: All non-governmental organized work shall be submitted under Professional Services).
Office Supplies	Includes all supplies generally attributed to an office, which are necessary for the completion of the project.
Facility Rental	Includes all bids and invoices for facility rental expenses, which are necessary for the completion of the project. No food charges are to be included with facility rental bids or charges.
Communication	Includes all telephone, fax, etc. charges necessary for the completion of the project. A breakdown must be provided to justify the relation of these charges to the project.
Printing	Includes all printing and reproduction charges, developed as a result of the project. Direct and indirect costs of printing and reproduction of printed materials shall be included, but must be relevant to the project.
Postage	Includes all types of postage necessary for the completion of the project.
Other Direct Expenses	Includes all costs not specially mentioned above. These costs must not be duplicated in other budget items. No funds may be used for the purchase of Equipment, no exceptions.

Professional Services	These expenses include the total costs for any subcontractors needed by the applicant to undertake the activities specified in the Scope of Work. These costs must be itemized showing travel, equipment, general operating expenses, salaries, and other costs. The applicant will assume full responsibility for the actual subcontracting process, liability, and responsibility for completion of the project as described in the Scope of Work. (Note: All non-government organized work shall be submitted under Professional Services) no exceptions.
Match Share	Match share is the dollar amount to be provided by the applicant during the term of the grant. When estimating costs, the applicant must indicate the total cost for the project, and then subtract the amount eligible for grant funding. The amount left over is the required 20% Match Share. The Match Share must be actual cost to the grant recipient of matching services. Each budget subtotal line item shall show actual dollars spent for the calculated dollar value for the matching services as the Match Share contribution from the grant recipient. The Match Share may be contributed in any or all of the budget line item categories. For example, \$400 worth of personnel services, or a combination of \$200 of personnel services plus \$200 of operating expenses, or a different distribution that totals \$400 would be equally acceptable.

California Emergency Management Agency

Grant Assurances for the *Hazardous Materials Emergency Preparedness Grant*

Name of Applicant: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____ Fax Number: (____) _____

E-Mail Address: _____ Cell Phone: _____

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for federal assistance, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the Hazardous Materials Emergency Preparedness Grant.
2. Will assure that grant funds are only used for allowable, fair, and reasonable costs.
3. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or awarding agency directives.
4. Will provide progress reports and such other information as may be required by the awarding agency.
5. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.), which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
8. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;

- b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - g. §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - i. Title 49, Code of Federal Regulations, Parts 21 and 27;
 - j. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made, and
 - k. The requirements on any other nondiscrimination statute(s), which may apply to the application.
9. Will comply, if applicable, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally assisted programs. These requirements apply to all interested in real property acquired for project purposes regardless of federal participation in purchases.
10. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply, if applicable, with environmental standards which may be prescribed pursuant to the following:
- a. institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - b. notification of violating facilities pursuant to EO 11738;
 - c. protection of wetlands pursuant to EO 11990;
 - d. evaluation of flood hazards in floodplains in accordance with EO 11988;
 - e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
 - g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - h. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply, if applicable, with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance, if applicable, with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).
14. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
15. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the applicant's application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the federal or state government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per federal fiscal year.
16. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
17. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
18. Will comply, if applicable, with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
19. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
20. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction subagreements.

21. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension."
22. Agrees that:
- No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement;
 - If any other funds than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or employee of a Member of Congress in connection with the federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
 - The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
 - This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
23. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) non-federal funds.
24. Will comply with all applicable Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A-87, a-102, and A-133, Title 49, Code of Federal Regulations, and any other Federal laws or regulations that are applicable to this grant.
25. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

Appendix B – Reimbursement Request Form

The payment process can not be completed until CalEMA receives original document with the signatures.

Check List:

- 1. Quarterly Performance Report**
- 2. Reimbursement Request Form**
- 3. Total Expenditures 100% (the total monies you are claiming for this billing period) include a copy of your receipts. You keep the original documents.**
- 4. On the Reimbursement Request Form – Year to Date Totals (add each previous quarter to determine the total)**

Note: E-mail and fax copies will not be processed for reimbursement as they are considered not acceptable.

If you have any questions, contact Ron Olguin at (916) 845-8765.

Mail Reimbursement Request to:

California Emergency Management Agency
Hazardous Materials Unit- Ron Olguin
3650 Schriever Avenue
Mather, CA 95655

**Office of Emergency Services - Hazardous Materials Emergency Preparedness Grant
Grant Number (FY 09/10): HMECA**

Reimbursement Request Form: MUST INCLUDE A COPY OF THE RECEIPTS

Mail Reimbursement Request to:

Grant Recipient: _____

**California Emergency Management Agency
Hazardous Materials Unit- Ron Olguin
3650 Schriever Avenue
Mather, CA 95655**

OES ID# _____

Please mark this box to indicate a change in
the Authorized Agent Mailing Address
below ☐

BILLING PERIOD: From _____ to _____

Total Expenditures
(100% for this billing period)

(Year to date totals)

HMEP Share
(80% of total costs)

Local Match
(20% of total costs)

**NOTE: The amount of Total HMEP Share and Local Match Quarter: 1, 2, 3 or 4 (circle one)
should equal total cost Expenditures for billing period.**

Under penalty of perjury, I certify that:

- I am the duly authorized officer of the claimant herein
- This claim is in all respects true, correct, and all expenditures were made in accordance with applicable laws, rules, regulations and grant conditions and assurances
- This claim is for costs incurred within the Grant Performance Period

Authorized Agent (per the Designation Statement)

Printed Name _____

Phone No. _____

Title _____

E-Mail Address _____

Mailing Address _____

Fax No. _____

City, State, Zip Code _____

Signature _____

Date _____

Instruction Sheet for Reimbursement (must include receipts)

Grant Recipient	The grant recipient is the entity identified in the original grant application. Do not identify any sub-departments or offices as the grant recipient.
ID #	This is the grant recipient's identification number as identified on the Assistance Agreement sent with the application approval letter.
Address Changes	Indicate a change in address by checking the box shown and noting the new address in the area marked "mailing address" at the bottom of the form.
Billing period	Indicate the month and year for the beginning of the period covered and the end of the period covered. See Timelines on page 10.
Total Expenditures	Enter the total amount of your claim for this billing period. Total Expenditures are required with the Quarterly Performance Report and Reimbursement Request Form (100% of the Total Expenditures)
HMEP Share	Enter the total amount of Federal HMEP share of your claim for this billing period (80% of the Total Expenditures)
Local Match	Enter the amount your jurisdiction is matching for this billing period (20% of the Total Expenditures).
Year to date totals	Second column of three boxes is used to add up Total Expenditures, HMEP Share, and Local Match from the beginning of the project to the present in the respective boxes.
Authorized Agent Information	Complete all line items requested and ensure that the form is signed by an Authorized Agent named in the Designation Statement submitted with the original application.
Mail	Mail the original to the address identified at the top of the request form

Supporting Documents

Supporting documents **are required** to be submitted with the Reimbursement Requests. CalEMA reserves the right to request documentation at any time. **Grant recipients are reminded to maintain documents that support the expenditures and reimbursement amounts shown on the request.**

Appendix C – Quarterly Performance Report

The Quarterly Performance Report - required for each quarter and must be attached to the Reimbursement Request Form and Total Expenditures. **The payment process can not be completed until CalEMA receives the original Quarterly Performance Report, Reimbursement Request Form and a copy the Total Expenditures (the total amount of you are claiming for this billing period).**

Budgetary Criteria: Hazardous Materials Emergency Preparedness (HMEP) Grant Program

Allowable expenses for activities eligible under HMEP grant:

- Salaries and benefits.
- Printing and reproduction costs.
- Mail and postage cost.
- Equipment rental only.
- Supplies and training materials.
- Hiring contractors or consultants to perform work eligible under the grant.
- Per Diem and travel expenses.

Non-allowable expenses:

- No funds awarded may be used to pay overtime or call backs.
- No funds awarded direct to a Contractor, Non-Profit Organization or other Non Government Agency (must be sponsored by a Local Government Agency).
- No funds awarded may be used for the purchase of equipment, no exceptions.
- No funds may be used to replace or supplant local government funding of existing planning or exercise programs.
- No Software - with the exception of CAMEO.

All expenditures of the grant funds must be in accordance with the provisions and certification of the U.S. Department of Transportation Hazardous Materials Emergency Preparedness Grant (HMEP), 49 CFR and other applicable federal laws, codes and circulars.

5/8/2009

Quarterly Performance Report
FY 09/10 Hazardous Materials Emergency Preparedness Grant
Grant Award # HMECA OES ID#

Subgrantee: _____ Performance Period: _____

Mailing Instructions: Please complete the performance report and return it to:

California Emergency Management Agency
Hazardous Materials Unit – Ron Olguin
3650 Schriever Avenue
Mather, CA 95655

Questions regarding the completion of this performance report should be directed to the Grant Administrator, Ron Olguin at (916) 845-8765, or via e-mail at ronald.olguin@oes.ca.gov.

The payment process can not be completed until CalEMA receives an original and signed Quarterly Performance Report, Reimbursement Request Form and you must include Total Expenditures (the total amount of your claims for this billing period).

Part I – Authorized Agent Information

Are the following people still Authorized Agents for this grant?

Yes <input type="checkbox"/>	No <input type="checkbox"/>
Yes <input type="checkbox"/>	No <input type="checkbox"/>
Yes <input type="checkbox"/>	No <input type="checkbox"/>

Is the mailing address still accurate?

Yes ☐ No ☐

If no, please provide correct mailing address:

Part II – Project Narrative, Activities and Completion Date

Is the Project Narrative, as described in your agency's original application, still accurate?

Yes ☐ No ☐

If no, please explain: _____

Are the Project Activities, Tasks and Deliverables, as described in your agency's original application, still accurate?

Yes ☐ No ☐

If no, please explain: _____

Please list the Project Activities, Tasks and Deliverables that were completed during this Performance Period.

What is the anticipated completion date for the project? _____

NOTE: All eligible work and expenditures for this grant must be completed by September 30, and time extensions can not be granted.

If the approved project will not be completed by September 30, please explain:

Part III – Financial Summary

Total Amount Awarded to the Local Government (grant) \$ _____

Total funds/disbursed to the Local Government (to date) \$ _____

Total Expenditures requested (to date) \$ _____

Has your agency requested reimbursement for all grant expenditures to date?

Yes ☐ No ☐

If no, please explain:

NOTE: Local Governments must fill out a *Reimbursement Request* form to request grant payments. Please refer to the Planning Grant Guide for a copy of the Reimbursement Request form and instructions. CalEMA recommends that subgrantees request reimbursement as soon as eligible grant expenditures are incurred. A Reimbursement Request form may be submitted with this Performance Report. **The payment process can not be completed until CalEMA receives an original and signed Quarterly Performance Report, Reimbursement Request Form and Total Expenditures (the total amount of your claim for this billing period). E-mail and fax copies are not acceptable.**

Is the budget in the original application still accurate?

Yes ☐

No ☐

If no, please explain: _____

Part IV – Certification and Signature of Authorized Agent

Please check Yes or No for the following statement:

This performance report represents the final report for this grant. All grant activities have been completed and paid for, and indicated in *Part III, Financial Summary, Subgrantee expenditures to date on this grant.*

Yes ☐

No ☐

I certify that I am a duly Authorized Agent of _____ and the representations made in this performance report are true and correct.

Signature: _____

Date: _____

Printed Name: _____

Title: _____

Appendix D - Abbreviations and Acronyms

CalEMA	California Emergency Management Agency
CFR	Code of Federal Regulations
CSTI	California Specialized Training Institute
DOT	United States Department of Transportation
EPA	Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-to-Know Act of 1986
FFY	Federal Fiscal Year
FOIA	Freedom of Information Act
HMEP	Hazardous Materials Emergency Preparedness
LEPC	Local Emergency Planning Committee
OMB	United States Office of Management and Budget
RSPA	Research and Special Programs Administration